

Senior Management Auditor

Knowledge, Skills, Abilities, and Personal Characteristics Statements

1	Knowledge of auditing practices and audit standards to ensure audited entity is operating efficiently and conforming to applicable laws, rules, and regulations.
2	Knowledge of Generally Accepted Accounting Principles (GAAP) as they relate to auditing of government programs and contractors to ensure audited entity is operating efficiently and conforming to applicable laws, rules, and regulations.
3	Knowledge of organizational management principles including strategic planning, resource allocation, human resources modeling, and coordination of people and resources to ensure audited entity is operating efficiently and conforming to applicable laws, rules, and regulations.
4	Knowledge of the principles and practices of financial record keeping to ensure audited entity is operating efficiently and conforming to applicable laws, rules, and regulations.
5	Knowledge of laws, rules, and regulations governing the operation of State departments, agencies, and/or contractors to ensure audited entity is in compliance.
6	Knowledge of controls associated with information systems technology to ensure accuracy, reliability, and security of the data related to the audit.
7	Ability to conduct fiscal compliance audits of State departments, agencies, and/or contractors to ensure audited entity is operating efficiently and conforming to applicable laws, rules, and regulations.
8	Ability to conduct operational/performance audits of State departments, agencies, and/or contractors to ensure audited entity is operating efficiently and conforming to applicable laws, rules, and regulations.
9	Ability to determine when a process is deficient and likely to result in an adverse outcome during the course of an audit or investigation.
10	Ability to apply relevant accounting principles to an audit or investigation and determine if processes are efficient and conform to applicable laws, rules, and regulations.
11	Ability to apply relevant organizational management principles to an audit or investigation and determine if processes are efficient and conform to applicable laws, rules, and regulations.
12	Ability to apply relevant financial record keeping principles to an audit or investigation and determine if financial records are complete and financial practices conform to applicable laws, rules, and regulations.
13	Ability to determine appropriate and sufficient samples for testing during an audit at a State department, agency, and/or contractor.

14	Ability to identify issues during an audit (e.g., deficient controls, fraud, waste, abuse) and determine if they will lead to inefficiency, loss of State assets, or non-compliance with applicable laws, rules, and regulations.
15	Ability to determine the level of risk associated with issues identified during an audit at a State department, agency, and/or contractor.
16	Ability to determine appropriate mitigation for risks identified during an audit at a State department, agency, and/or contractor.
17	Ability to determine appropriate personnel to attend entrance and/or exit conferences during an audit at a State department, agency, and/or contractor.
18	Ability to develop and recommend changes during an internal audit to improve the quality and increase the efficiency of departmental functions.
19	Ability to determine if a corrective plan developed by a department, agency, and/or contractor will result in an improvement of processes and/or functions.
20	Ability to provide appropriate feedback to management, contractors, and other stakeholders during the course of an audit.
21	Ability to determine information relevant to the audit and acquire it from entity being audited.
22	Ability to maintain the confidentiality of information obtained during the audit.
23	Ability to maintain high ethical standards in completing all assignments and projects.
24	Ability to exhibit an attention to detail in order to ensure accuracy of audit findings and conclusions.
25	Ability to test the controls of accounting and/or database systems to ensure accuracy, reliability, and security of the data related to the audit.
26	Knowledge of problem-solving techniques and processes to facilitate the identification and resolution of issues related to the completion of work assignments.
27	Ability to use logic and reasoning to identify the strengths and weaknesses of alternative solutions, conclusions, or approaches to research problems.
28	Ability to objectively identify all facts and implications related to a situation before drawing conclusions and determining courses of action.
29	Ability to read and summarize numerical reports and compare to spreadsheets or other information sources to identify and resolve discrepancies.
30	Ability to analyze and evaluate the impact of programs, procedures, business processes, and/or policies and determine if they can be performed more efficiently.
31	Ability to evaluate the reliability of data used in an audit to ensure its completeness, accuracy, and integrity.
32	Ability to analyze data collected during an audit and make appropriate determinations based on the analysis.

33	Ability to interpret data obtained through formal data gathering techniques (e.g., surveys, questionnaires, interviews, observation).
34	Ability to analyze statistical data to reach sound conclusions and/or make recommendations.
35	Ability to apply general rules to specific problems or issues to produce answers that make sense.
36	Ability to combine pieces of information to form general rules or conclusions including finding a relationship among seemingly unrelated events.
37	Knowledge of basic arithmetic techniques (e.g., addition, subtraction, multiplication, division) to analyze numerical data.
38	Ability to perform basic arithmetic techniques (e.g., addition, subtraction, multiplication, division) to analyze numerical data.
39	Knowledge of supervisory principles, practices, and techniques to oversee the work activities of employees to ensure the unit/branch operates effectively and complies with all applicable laws, rules, and regulations.
40	Knowledge of the principles of workflow to effectively plan a variety of program and project activities, and establish timelines and milestones.
41	Knowledge of project management principles in order to design audit related projects (e.g., define schedules, tasks, milestones, deliverables), monitor project progress, and conduct final project evaluation.
42	Knowledge of performance management systems such as probation reports, Individual Development Plans (IDP), and feedback systems to develop staff and improve productivity.
43	Knowledge of leadership principles and methods to motivate and maintain the productivity of work unit staff members in accomplishing program objectives.
44	Knowledge of a supervisor's role in the Equal Employment Opportunity Program and the processes available to achieve program objectives.
45	Knowledge of the requirements of the Americans with Disabilities Act (ADA) and available measures to ensure compliance.
46	Knowledge of collective bargaining agreements to ensure compliance with applicable provisions of those agreements.
47	Knowledge of progressive discipline to determine when disciplinary action is warranted and to recommend or apply appropriate action.
48	Knowledge of training techniques (e.g. on the job, classroom, coaching) to educate staff on topics relating to job tasks and improve performance and productivity.
49	Ability to apply project management principles in order to design audit related projects (e.g., define schedules, tasks, milestones, deliverables), monitor project progress, and conduct final project evaluation.
50	Ability to function as a technical lead for complex auditing projects to ensure issues are sufficiently understood.

51	Ability to delegate work appropriately to qualified staff to ensure audit related projects are properly completed.
52	Ability to manage unit workload and assignments in order to meet project objectives and deadlines.
53	Ability to review the work of subordinate staff and provide constructive feedback from the perspective of a supervisor.
54	Ability to foster respect for cultural, race, and gender diversity, as well as individual differences amongst staff members.
55	Ability to inspire confidence and effective working relationships within the work unit to promote morale and foster a positive working environment.
56	Ability to document employee performance using employee performance evaluations and/or probationary reports to ensure performance is documented accurately and meets quality, quantity, and timeliness expectations.
57	Ability to mentor staff to develop skills, improve staff performance, and promote career development.
58	Ability to establish priorities and manage the staff and resources to maximize the productivity and effectiveness of the unit/branch.
59	Ability to perform oversight on projects ensuring that work products or services are delivered on schedule, within the established budget and/or timelines, and in compliance with applicable laws, rules, and regulations.
60	Ability to implement changes in the audit organization in a positive manner to ensure the organization runs efficiently.
61	Ability to evaluate audit organization performance and achievements and develop strategies to meet performance standards.
62	Ability to develop training materials in order to train staff in relevant technical areas.
63	Ability to plan, organize, and direct the total audit activities of a State agency or department.
64	Ability to supervise audit teams performing complex management audits of State departments, contractors, and/or large governmental programs.
65	Ability to direct an audit organization that performs a variety of complex technical management audits.
66	Knowledge of proper spelling, grammar, punctuation, and sentence structure to ensure that written materials are clear, concise, and error-free.
67	Ability to proofread and edit written materials (e.g. memos, letters, audit reports, work papers, procedures) to ensure that they are accurate, clear, and in compliance with audit standards.
68	Ability to communicate information clearly and concisely, in writing, to audiences with varying levels of understanding.
69	Ability to write reports, policies, and procedures using proper grammar, punctuation, and sentence structure.

70	Ability to visually present flow charts, tables, and graphs to convey process representations using various tools and methods (e.g., Visio, Word).
71	Ability to read and comprehend complex or technical information (e.g., budgets, financial records, workflow documents, training documents, work orders, ledgers) in order to interpret or explain it to others.
72	Ability to verbally communicate with others to convey information clearly and concisely.
73	Ability to conduct an entrance and/or exit conference focusing on appropriate issues and handling questions and concerns with tact, discretion, and diplomacy.
74	Ability to develop and maintain cooperative relationships (i.e., with governmental agencies, auditees, advocates, the public) to facilitate the audit.
75	Ability to interpret and explain policies, procedures, rules, and/or regulations to non-technical individuals (e.g. departmental employees, the public, vendors, other state agencies) to clearly communicate pertinent information.
76	Ability to function as a liaison for an assigned audit project to provide program specific information, answer questions, and address raised issues/problems.
77	Ability to provide clear and accurate verbal instructions and directions to individuals with various levels of technical expertise.
78	Ability to facilitate meetings and discussions in a manner that ensures participants remain focused on the intended topic and encourages active participation.
79	Ability to conduct training of subordinate staff in order to ensure staff maintains knowledge and ability in relevant technical areas.
80	Knowledge of time management techniques to provide for efficient prioritization and completion of projects and assignments.
81	Ability to be objective and flexible to adapt to changes in priorities and work assignments to ensure projects are completed on time and within budget.
82	Ability to work on multiple projects and assignments simultaneously to finish assignments on time and within budget.
83	Ability to complete work under critical timelines to meet project objectives and deadlines.
84	Ability to work independently to complete projects in a timely manner.
85	Ability to work as a member of a team to complete projects in a timely manner.
86	Ability to use word processing software (e.g., Microsoft Word) to prepare correspondence and reports.
87	Ability to use spreadsheet software (e.g., Microsoft Excel) to prepare spreadsheet summaries and reports.

88	Ability to use database software (e.g., Access, Excel, SQL) to store and manage data.
89	Ability to use various data software programs (e.g., ACL, SAS, SPSS, Access, Excel) to aid in statistical analysis of data.
90	Ability to use electronic mail and calendaring software (e.g., Microsoft Outlook, GroupWise) for e-mail and calendaring purposes.
91	Willingness to travel to accomplish work projects.
92	Willingness to drive long distances and stay overnight if necessary to reach work sites.
93	Willingness to deal with individuals who are uncooperative or hostile during the course of work assignments.